

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2416460
<b>Application Number:</b>	10679071
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5914
<b>Title of Invention:</b>	Zero premium equity participating securities
<b>First Named Inventor/Applicant Name:</b>	Kevin G. Woodruff
<b>Customer Number:</b>	26285
<b>Filer:</b>	Mark G. Knedelsen
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	030675
<b>Receipt Date:</b>	02-NOV-2007
<b>Filing Date:</b>	03-OCT-2003
<b>Time Stamp:</b>	11:42:08
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 180
RAM confirmation Number	5668
Deposit Account	111110

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	Amendment_Transmittal.pdf	269999 620d860597603aa6887e056cc0935976 803a098	no	4
Warnings:					
Information:					
2		Response.pdf	66856 256024ca3c3331556f99fdede37bb87c 2a4b2b63	yes	16
	Multipart Description/PDF files in .zip description				
	Document Description	Start	End		
	Amendment - After Non-Final Rejection	1	1		
	Claims	2	9		
	Applicant Arguments/Remarks Made in an Amendment	10	16		
Warnings:					
Information:					
3		IDS.pdf	422491 30db57801d5d72a6c072541fdb33320fe 1231798	yes	4
	Multipart Description/PDF files in .zip description				
	Document Description	Start	End		
	Information Disclosure Statement Letter	1	2		
	Information Disclosure Statement (IDS) Filed	3	4		
Warnings:					
Information:					
4	NPL Documents	Rev_Rul_2003_97_NPL.pdf	694306 7b274e4092cc9437c3c3b8d70b5017 97273965	no	11
Warnings:					
Information:					
5	NPL Documents	10677172.pdf	1139823 3ae497f315d7780c20a661061031e656 c09427b9	no	33
Warnings:					
Information:					
6	NPL Documents	10677172_9_27_2007_OA _NPL.pdf	484056 848e84a866545730403e471a3a5939 46543066	no	13

**Warnings:****Information:**

7	NPL Documents	10679054_7_31_2007_OA_NPL.pdf	626180	no	17
			2b4cc69d70aac205ccf474e0f1b11057a91e2b3b		

**Warnings:****Information:**

8	Fee Worksheet (PTO-06)	fee-info.pdf	8173	no	2
			e08c1662801112329c39653cd7038f108de2214c		

**Warnings:****Information:**

<b>Total Files Size (in bytes):</b>	3711884
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.